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(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

61512/CCD/RSM

U.S. APPLICATION NO. (if known, see 37 CFR 1.51)

09/508369

INTERNATIONAL APPLICATION NO.
PCT/GB98/03091INTERNATIONAL FILING DATE
13 October 1998PRIORITY DATE CLAIMED
13 October 1997

TITLE OF INVENTION

COATED ALUMINIUM WORKPIECE

APPLICANT(S) FOR DO/EO/US

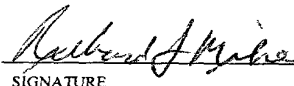
Eric BARIOW, Mark FOSTER, Chris PARGETER, Peter Karl Ferdinand LIMBACH

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: One copy of each of the following documents:
 1. International Application Published Under The Patent Cooperation Treaty No. WO 99/19086 including the International Search Report.
 2. International Preliminary Examination Report.
 3. Notice Informing The Applicant Of The Communication Of The International Application To The Designated Offices.

US APPLICATION NO (if known, see 37 CFR 1.51) 09/508369		INTERNATIONAL APPLICATION NO PCT/GB98/03091		ATTORNEY'S DOCKET NUMBER 61512/CCD/RSM	
17. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$760.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	21 - 20 =	1	X \$18.00	\$ 18.00	
Independent claims	2 - 3 =	0	X \$78.00	\$ 0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 858.00	
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).				\$ 0.00	
SUBTOTAL =				\$ 858.00	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$ 858.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 0.00	
TOTAL FEES ENCLOSED =				\$ 858.00	
				Amount to be:	\$
				refunded	
				charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>858.00</u> to cover the above fees is enclosed.					
b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.					
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>03-3125</u> . A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO Christopher C. Dunham Cooper & Dunham LLP 1185 Avenue of the Americas New York, New York 10036 (212) 278-0400			Date: 10 March 2000  SIGNATURE Richard S. Milner NAME <u>33,970</u> REGISTRATION NUMBER		

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Eric BARLOW, Mark FOSTER, Chris PARGETER, and
Peter Karl Ferdinand LIMBACH

International
Application No.: PCT/GB98/03091

International
Filing Date : 13 October 1998

U.S. Serial No.: Not Yet Known

U.S. Filing
Date : Herewith

For : COATED ALUMINIUM WORKPIECE

1185 Avenue of the Americas
New York, New York 10036
10 March 2000

Box PCT
Assistant Commissioner for Patents
Washington, D. C. 20231

ATTENTION: US/EO

Sir:

PRELIMINARY AMENDMENT TO
ACCOMPANYING NATIONAL STAGE APPLICATION

Prior to the initial examination of the above-identified application, applicants respectfully request that the application as amended according to the International Preliminary Examination Report be further amended as follows:

IN THE CLAIMS

Without prejudice or disclaimer, please amend claims 4-7, 10-13, 18, and 20 to read as shown below by deleting the text

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surrounded by square brackets "[]" and by inserting the underlined text.

-4. (Amended) The aluminium workpiece of claim 2 [or claim 3], wherein the anodic oxide film is 50-200 nm thick.--

--5. (Amended) The aluminium workpiece of [any one of claims 2 to 4] claim 2, wherein the adhesion promoter coating is present at a weight of 5-500 mg/m².--

--6. (Amended) The aluminium workpiece of [any one of claims 2 to 5] claim 2, which is painted sheet for architectural use.--

--7. (Amended) The aluminium workpiece of [any one of claims 2 to 6] claim 2, wherein the adhesion promoter is selected from at least one of polyacrylic acid, [poly(hydroxyphenyl)] poly(hydroxyphenyl) styrene and pretreatments comprising one or more of Cr, Mn, Mo, Si, Ti, Zr and F.--

--10. (Amended) The aluminium workpiece of claim 8 [or claim 9], wherein the anodic oxide film is 10-50 nm thick.--

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--11. (Amended) The aluminium workpiece of [any one of claims 8 to 10] claim 8, wherein the adhesion promoter coating is present at a weight of 2-100 mg/m².--

--12. (Amended) The aluminium workpiece of [any one of claims 8 to 11] claim 8, wherein the Cr, Mn, Mo, Si, Ti, Zr and F of the adhesion promoter are inorganic.--

--13. (Amended) The aluminium workpiece of [any one of claims 8 to 12] claim 8, which is primed sheet for automotive use.--

--18. (Amended) The method of claim 16 [or claim 17], wherein the aluminium workpiece is aluminium sheet.--

--20. (Amended) The method of [any one of claims 15 to 19] claim 15, wherein the adhesion promoter is one containing one or more of Cr, Mn, Mo, Si, Ti, Zr and F.--

REMARKS

Claims 1-21 are presented for examination. Claims 4-7, 10-13, 18, and 20 were amended to eliminate multiple dependencies. Claim 7 has also been amended to correct a spelling error.

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It is submitted that this Preliminary Amendment will facilitate an early and favorable examination of the application on its merits.

Respectfully submitted,



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COATED ALUMINIUM WORKPIECE

5 There is a large market in painted aluminium sheet, both for architectural use and for automotive use. There is also a large market for lacquered aluminium sheet for canstock use. In all these applications, the adhesion of the organic coating (typically paint, lacquer or adhesive) to the aluminium metal may not be adequate. Various surface pretreatments
10 have been proposed and are widely used to improve such adhesion:

- An anodic oxide film is formed on the aluminium surface. Particularly when anodising is done in a phosphoric acid based electrolyte, the outer surface of the anodic oxide film may be extremely rough, including filaments or whiskers, such as to provide an excellent mechanical
15 key for subsequently applied organic coatings.
- Adhesion promoters are a class of materials that have been used to improve the adhesion of organic coatings to an underlying metal substrate. One example is polyacrylic acid. A chromium-fluoride-phosphate pretreatment has been successfully marketed under the
20 tradename Accomet C. Other similar treatments contain fluoride values and other transition metals. Such pretreatments may act as adhesion promoters and also provide corrosion resistance.

 Adhesion promoters have in general been applied to bare metal. This invention is based on the idea that additional advantages may
25 be obtained if such adhesion promoters are applied to an aluminium metal surface which is not bare.

 Thus the invention provides an aluminium workpiece having on a surface thereof an anodic oxide film and a coating which consists essentially of at least one adhesion promoter excluding silanes.

30 A workpiece is an object of indeterminate size and shape. While the invention may have application in connection with extrusions and

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other workpieces, it is of principal interest in connection with aluminium sheet, either continuous sheet in the form of coil, or cut sheet which is either flat or has been formed into shaped components e.g. for architectural or automotive or canstock use. Depending on the intended application, either one surface or both surfaces of the sheet may have the artificially applied aluminium oxide or hydroxide film and the coating.

The term aluminium is here used to include both the pure metal and alloys in which Al is a major component. Preferred are alloys of the 2000, 3000, 5000 and 6000 series of the Aluminum Association Inc Register.

Preferably the oxide film is an anodic oxide film, e.g. formed by anodising the metal workpiece in an acidic electrolyte. Preferred electrolytes are sulphuric acid, and particularly phosphorus oxyacids including phosphoric acid. Anodising conditions may be chosen, in accordance with criteria well known in the field, to generate an anodic oxide film having a rough outer surface. The artificially applied aluminium oxide or hydroxide film needs to be thick enough to provide abrasion and corrosion resistance; but not so thick as to have a tendency to spall or crack when a workpiece carrying the film is formed to shape; and, in a preferred aspect of the invention discussed below, not so thick as to make the coating so electrically resistant that spot-welding is impossible. Preferred thicknesses are in the range 10 – 200 nm particularly 15 - 150 nm, more especially 15 – 50 nm.

Adhesion promoters are known and employed to enhance adhesive bond strength, or more commonly to enhance the environmental resistance of the substrate surface/adhesive interface to attack by moisture. Adhesion promoters were described by P E Cassidy *et al* in Ind. Eng. Chem. Prod. Res. Development Volume 11, No 2 (1972) pages 170-7; and by A J Kinlock in J Mat. Sci., 15(1980), pages 2141-66 at page 2159. Commercial pretreatments (adhesion promoters) include Alodine NR1453., Alodine NR2010, zirconia/polyacrylic acid, Accomet C

and Safeguard 6000 which contain Ti, Zr, Cr, Mn, Si, F, polyacrylic acid and substituted styrenes.

An adhesion promoter may be a pretreatment comprising one or more of Cr, Mn, Mo, Si, Ti, Zr values. These values are preferably
5 inorganic, in the sense that they do not contain metal-carbon (or Si-C) bonds, although they may be used in conjunction with organic polymers. The adhesion promoter may also comprise fluoride values or another acid value. They may conveniently be provided by dissolving fluorozirconic acid H_2ZrF_6 , or a soluble fluorozirconate salt, in water; alternatively, a
10 corresponding acid or salt of Cr, Mn, Mo, Si or Ti may be used. Cr is preferably absent on account of its toxicity and effluent problems. Fluorozirconate (or other fluoro complex) is preferably present at a concentration of 0.1 – 200 g/l, particularly from 10 – 100 g/l, of a formulation for application to an aluminium workpiece.

15 In the case of Cr and Mn, there is probably some dissolution of an anodic oxide film and reduction by Al of the Cr or Mn from a higher to a lower oxidation state. In the case of formulations based on Ti or Zr there are no oxidation states to change. It is thought that the hydrofluoric acid may attack the anodic oxide film causing a local pH change resulting in the
20 formation of a pretreatment/ Al_2O_3 gel followed by further pretreatment deposition. These pretreatments may be applied in the form of no-rinse solutions.

These pretreatment formulations based on fluoride and transition metals may also contain an organic polymer such as polyacrylic
25 acid or polyvinylpyrrolidone. Whether or not such polymer is present, the pretreatment coating is preferably provided at a coat weight of 2 - 500 mg/m^2 , e.g. 5 – 100 mg/m^2 , particularly 10 – 60 mg/m^2 .

Other possible adhesion promoters include siloxanes, polyvinylphenols, polyacrylic acids and salts and esters thereof, and
30 polyacrylic acid/zirconia mixtures. These adhesion promoters are preferably present at a coat weight of 5 – 500 mg/m^2 preferably

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10 - 500 mg/m². While adhesion promoters are effective to improve surface properties of the aluminium workpieces of this invention, it is surprisingly found that lower concentrations are sometimes more effective than higher concentrations.

5 In another aspect the invention provides a method of treating an aluminium workpiece, which method comprises precleaning a surface of the workpiece, anodising the workpiece so as to form an anodic oxide film on the surface, applying to the anodic oxide film a coating of an adhesion promoter excluding silanes and preferably applying to the adhesion
10 promoter coating an organic layer. Anodising may be effected in less than 60s e.g. less than 10s, and is preferably performed continuously. The adhesion promoter is preferably applied, either as a no-rinse coating, e.g. a composition consisting essentially of the adhesion promoter in a volatile vehicle which evaporates from the surface of the workpiece leaving a film
15 of the adhesion promoter without the need for rinsing. Or a conversion coating composition may be used which reacts chemically with the substrate, e.g. the artificial oxide layer, to form a film of the adhesion promoter which is not removed by rinsing.

In one embodiment, a porous anodic oxide film is formed of
20 thickness preferably 50 – 200 nm. When polyacrylic acid or other adhesion promoter is applied on top of the porous film, it generally fills the pores and forms a continuous layer on top of them. This embodiment has surprisingly good corrosion resistance and is particularly suitable as painted sheet for architectural use.

25 In another embodiment, a barrier layer anodic oxide film is formed of thickness preferably 20 – 50 nm. A pretreatment e.g. NR1453 (adhesive promoter) is applied over this; the anodic film is sometimes found to be thinner after application of the pretreatment but never disappears altogether. A paint film, e.g. a conductive paint primer may be
30 applied over the pretreatment, which primer film may be thin so as to permit electro-welding. Sheet according to this embodiment may have

surprisingly good forming characteristics and is particularly suitable for automotive use where components formed from the sheet are adhesively bonded to other components. Components formed from the sheet, and structures made by adhesively joining the components, can be painted on an electrophoretic or electrostatic paint line. Primed aluminium sheet is widely sold for automotive use, where the presence of the primer gives the sheet improved forming properties.

The aluminium sheet or other workpiece according to this invention carries on its surface a composite coating consisting of an anodic aluminium oxide film and a coating consisting of an adhesion promoter overlying the film or occupying pores adjacent the outer surface of the film. This composite coating is found to improve adhesion to the workpiece of an applied organic coating such as a paint, lacquer, varnish, enamel or adhesive. In another aspect, the invention provides such an aluminium workpiece where paint, lacquer, varnish, enamel or adhesive is present overlying the artificially applied aluminium oxide or hydroxide film and the adhesion promoter coating.

EXAMPLE 1

Sheets of AA6016, 1.2 mm thick, and AA5182, 1.15 mm thick, were electrolytically cleaned in 200 g/l phosphoric acid at 90°C for 3 seconds at 3 kA/m². Half of the sheets were anodised in phosphoric acid to produce a film typically 15 – 50 nm thick. Treatment conditions were:

Phosphoric acid 200 g/l
Temp 65°C
Time 0.5 secs
Spray rinse in 30–50 g/l phosphoric acid then deionised water
Dry 120°C for 2 mins.

After rinsing and drying, the bare and anodised sheets were coated with a Ti containing no-rinse pretreatment Alodine NR 1453 to give a coating weight 5 – 15 mg/m² expressed as the weight of Ti. Alodine

NR1453 contains F, Zr and Ti, and has in addition a polymer present (a poly(hydroxyphenyl) styrene derivative).

Comparison samples were prepared by applying a Cr containing no-rinse treatment, Accomet C, at conventional levels.

5 After drying the sheets were coated on one side with electro conducting epoxy based paint Bonazinc 2004, (containing Al pigment) or Bonazinc 2000 (containing Al/Zn pigments). Coating thickness was about 7 ± 2 microns.

10 Formability Tests

Formability was measured by means of an Erichsen dome test BS 3855 arranged so that the paint film on the convex side of the dome was extended 20% in biaxial tension. This corresponds to a bulge height of 8 mm. The coating area deformed by the dome was cross hatched. The punch side of the sheet was lubricated. Adhesion in the domed area was measured by means of BS 3900 Part 2 test using a sticky tape. Scoring was as per the BS 3900 Part 2 test in which the best result is 0 and the worst is 5.

The results are presented in Table 1 from which it can be seen that:

1. In the absence of an anodised film the NR1453 was inferior to Accomet C. Performance generally improved as the coating weight decreased.
2. In the presence of an anodised film the NR1453 gave results comparable to or better than Accomet C.

Adhesive Bonding Tests

Sheets prepared as described above were adhesively bonded and tested in T-Peel. 25 mm wide strips were overlapped and adhesively bonded with an epoxy adhesive XD4600, the coated side being towards the adhesive. The overlapped joint was then peeled apart at a cross head

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movement rate of 20 mm/min.

On initial application of the peel load, the load rises to a peak and then drops to a constant level as the joints begins to separate. The constant load is measured and must exceed 7N/mm of width of joint and the failure mechanism be cohesive in the adhesive.

All of the NR 1453 equalled or exceeded 7N/mm when applied to pretreated anodic film, and all failed by cohesive failure within the adhesive.

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Table 1 – Automotive Primer Evaluation – Phase II

Alloy	Additional Treatment	Pretreatment	Erichsen (Gt) 8mm Dome
AA 6016	None	Alodine NR 1453 ($\approx 5 \text{ mg/m}^2$)	2
		Alodine NR 1453 ($\approx 10 \text{ mg/m}^2$)	4
		Alodine NR 1453 ($\approx 15 \text{ mg/m}^2$)	4
		Accomet C	1
	Anodised	Alodine NR 1453 ($\approx 5 \text{ mg/m}^2$)	1
		Alodine NR 1453 ($\approx 10 \text{ mg/m}^2$)	1
		Alodine NR 1453 ($\approx 15 \text{ mg/m}^2$)	2
		Accomet C	2
AA 5182	None	Alodine NR 1453 ($\approx 5 \text{ mg/m}^2$)	2
		Alodine NR 1453 ($\approx 10 \text{ mg/m}^2$)	3
		Alodine NR 1453 ($\approx 15 \text{ mg/m}^2$)	5
		Accomet C	2
	Anodised	Alodine NR 1453 ($\approx 5 \text{ mg/m}^2$)	1
		Alodine NR 1453 ($\approx 10 \text{ mg/m}^2$)	0
		Alodine NR 1453 ($\approx 15 \text{ mg/m}^2$)	1
		Accomet C	1

EXAMPLE 2

The conditions of Example 1 were reproduced using a production line comprising an electrolytic etch, anodising to form a barrier layer about 20 nm thick, to which the pretreatment was applied by roller
5 coating at 60 m/min. Erichsen test bulges were made having a height of 8 mm. Results are summarised in Table 2.

On both alloys the presence of a barrier film under the pretreatment improved performance.

Table 2 – Primer Applications – Summary of Erichsen Dome Test Adhesion Performance*

Surface Cleaning	Pretreatment	Bonazinc 2000		Bonazinc 2004	
		AA6016	AA5182	AA6016	AA5182
Electrolytic etch	Alodine NR 1453	3	4	2	4
≈20 nm barrier layer (anodised)	None	3	3	2	3
	Alodine NR 1453	1	2	2	0

* BS 3900 Part 2 Erichsen Dome Height 8 mm

EXAMPLE 3

Samples of AA6016 T4 in the form of coils 1.2 mm thick were passed through an electrolytic cleaning and anodising section of a production line at a rate of 26 m/min. The line contained three baths each
 5 containing 200 g/l phosphoric acid with less than 5 g/l dissolved aluminium and operated under the following conditions.

	Temp °C			Charge Density kCm ⁻²		
Clean only	90	90	90	2	2	1
Clean and anodise	90	90	70	2	2	3.5

To the pretreated coils was applied an adhesion promoter
 10 Alodine NR1453 (Henkel, containing fluorotitanate, fluoro-zirconate and poly(hydroxyphenyl) styrene derivative) at a rate of about 10 mg/m².

To the resulting coils was applied a coating of an electroconducting epoxy-based paint primer Bonazinc 2004 (containing Al pigment) at a coating thickness of about 7 µm. Samples of primed sheet
 15 were subjected to formability tests and adhesive bonding tests as described in Example 1.

Samples that had been cleaned only gave an Erichsen dome test result of 2. Samples that had been cleaned and anodised gave an Erichsen dome test result of 0, a substantial improvement.

20 Samples that had been cleaned only and that had been cleaned and anodised were subjected to the T-peel test. All samples passed the test, for joint failure was in all cases in the adhesive rather than at any adhesive-metal interface.

This work was repeated with other pretreatments (adhesion
 25 promoters) as shown.

- NR 2010 (Henkel, fluorotitanate) at about 5 mg/m².
- NR 778 (Henkel, fluoro-zirconate) at about 10 mg/m².

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- Ammonium zirconium carbonate / polyacrylic acid reaction product, at about 10 mg/m².
- Accomet C (Albright & Wilson, Cr and Si values).
- Safeguard 6000 (Sanchem, permanganate).
- 5 • PT2 (Alcan, Si values).

The Erichsen dome results (not reported in detail) for the cleaned-and-anodised samples were all satisfactory (3 or less), and all equal to or better than the cleaned-only samples. In T-peel tests, substantially all failures were clearly within the adhesive layer, indicating
10 that bonding was satisfactory.

EXAMPLE 4

Aluminium sheet intended for use as closure stock for cans was anodised in sulphuric acid on a commercial production line run at
15 90 m/min. Some of the anodised sheet was then treated with polyacrylic acid (MW 60000 PAA). Panels were then bar coated with two white polyester external enamels plus clear overprint varnishes using normal commercial practices. 60 mm deep drawn shells were produced from the lacquered panels lubricated with castor oil, again in accordance with
20 normal commercial practice. The following lacquer adhesion tests were performed.

Feathering Test

At the closure base a small cup was extended round the shell
25 circumference. The relative lacquer feathering characteristics for each experimental substrate were assessed by comparing with specimen standards, and ranked on a scale 0 to 4 with the highest value showing the worst coating adhesion.

Cross-hatch adhesion loss

At the closure base where the coating had received the most deformation, grid lines were scored through the lacquer into the panel using a metal scribe. Lacquer adhesion was assessed by firm application of adhesive tape on to the grid lines, followed by quick removal and the film percentage adhesion loss estimated and performance ranked on a scale 0 to 4.

Adhesion after Autoclaving

Closures were immersed in water held at 120°C for 30 mins in an autoclave, and the lacquer adhesion characteristics were assessed.

The results are set out in Table 3. It can there be seen that PAA improved the performance of the coating.

Table 3 - Lacquer Adhesion Characteristics

Substrate Identification	Lacquer Performance			
	Feathering Test	Cross-hatch Adhesion Loss	Adhesion after Autoclaving	Total Score
Without PAA	0	1	0.5	1.5
With PAA	0	0	0	0

EXAMPLE 5

Two alloys were used in this work, AA3005 which was 0.4 mm thick, and AA5754 which was 0.95 mm thick. Panels of each alloy were precleaned by treatment with phosphoric acid for 3 seconds at 90°C. They were then anodised in phosphoric acid at 65°C using a current of 3 A. In some cases the anodised surfaces were given further treatment with adhesion promoters:-

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Accomet C, a commercial no rinse treatment based on hexavalent chromium and containing fluoride and phosphate values; 1:1 by weight mixtures of zirconium oxide and polyacrylic acid;

5 Polyacrylic acid alone.

The pretreated specimens were then painted and exposed to acid salt spray according to DIN 50021-ESS. Results set out in Table 4 below are expressed on a scale of 0 to 5 where 0 is excellent, 1 and 2 are acceptable, 3 is borderline and 4 and 5 are unacceptable. The alloy here
10 was AA3005. Paint A was a single coat polyester. Paint B was a 2-coat polyester system.

Table 4

Paint	Anodised (secs)	Adhesion Promoter	Hours exposed to acetic acid salt spray			
			Panel & Scribe		Creep	
			336	1008	336	1008
A	2	-	4	X	1	X
A	2	Accomet C	1	2	1	1
A	2	Zr:PAA	3	4	4	5
A	2	PAA	1	2	1	5
B	2	-	4	X	1	X
B	2	Accomet C	1	2	1	3
B	2	Zr:PAA	2	3	1	1
B	2	PAA	1	2	1	5

15

X = Test discontinued

Anodic film thicknesses were determined from TEM micrographs. The anodising parameters used and the resulting pretreatment thicknesses are summarised in Table 5 below.

Table 5

Anodising Parameters		Anodic Film Thickness		Additional Pretreatment	
Temp. (°C)	Time (Secs)	(nm)		Adhesion Promoter	Thickness (nm)
		Barrier	Total		
65	2	40	80	None	None
		35	80	Accomet C	25
		40	80	1:1 Zr:PAA	40
		40	100	PAA	-

EXAMPLE 6

- 10 Panels of the same alloys as used in Example 5 were precleaned and then anodised for 3 seconds in phosphoric acid at 65°C using an anodising current of 3 A. The anodising process time was varied to produce either a 30 nm barrier layer or a 100 nm fully filamented anodic film. Some anodised panels were additionally treated with polyacrylic acid
- 15 (PAA) or Henkel poly(hydroxyphenyl) styrene derivative (PHS) solutions at two different spin coating concentrations. The treated panels were painted with a base coat and a clear coat, cured, and exposed to acetic acid salt spray tests (DIN 50021). The experiments are summarised in the following Table 6 and the results given in Table 7. The findings can be summarised:-
- 20 1. Phosphoric acid anodised pretreatments gave poor acetic acid salt spray test irrespective of anodic film structure.
2. The acetic acid salt spray test performance of the phosphoric acid anodised pretreatment was significantly improved by subsequent

treatment with PAA or PHS solutions. A 2% PAA spin coated application produced the best overall performance and without any failures.

Table 6

5

Expt	ALLOY	ANODISING PARAMETERS			ADDITIONAL PRETREATMENT	Spin Coating % Conc.
		Amps	Temp. (°C)	Time (secs)		
1	AA3005	3	65	1.5	None	
2				3		
3					PAA	0.5
4						2
5					PHS	0.5
6						2
7	AA5754	3	65	1.5	None	
8				3		
9					PAA	0.5
10						2
11					PHS	0.5
12						2

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Table 7

Hours exposed to acetic acid salt spray (DIN 50021)									
Expt.	Panel & Scribe			Bend			Creep		
	336	504	1008	336	504	1008	336	504	1008
1	4	4	5	5	5	5	1	1	5
2	4	4	5	2	2	5	1	1	5
3	1	1	2	2	2	2	1	1	1
4	1	1	2	2	2	2	1	1	1
5	1	1	2	1	3	3	1	1	1
6	1	1	2	1	1	2	1	1	1
7	4	4	5	2	2	5	1	1	5
8	4	4	4	1	1	1	1	1	5
9	1	1	3	1	1	1	1	1	1
10	1	1	1	1	1	1	1	1	1
11	1	1	1	1	1	5	1	1	3
12	1	1	1	1	2	4	1	1	3

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EXAMPLE 7

Panels of AA5754 H42 0.76 mm thick were electrolytically cleaned in phosphoric acid for 3 seconds at 90°C and were then (in some cases) anodised under various conditions as shown in Table 8 below. The treated panels were spin coated with an adhesion promoter as indicated:-

- Accomet C (Albright & Wilson, Cr and Si values)
- PAA (polyacrylic acid)
- 10 PSSA Polystyrene sulphonic acid-co-maleic acid
- PHS Henkel, poly(hydroxyphenyl)-styrene derivative
- Alodine NR1453N (Henkel, Zr, Ti values plus PHS)

The coated panels were painted (Wulf PVDF-1 2923-40 + Becker PK 16-40) and exposed to acid salt spray according to
15 DIN 50021-ESS. Results are set out in Table 9 below.

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Table 8

Anodising Parameters			Additional Treatment	Spin Coating Conc. %	Coat Weight (mg/m ²)	Test No.
Amps (kA)	Temp. (°C)	Time (Secs)				
3	65	3	Anodised only		None	1
			PAA Mol. wt 5K	2	163	2
				2	164	3
				5	245	4
				10	407	5
			PAA Mol. wt 250K	2	277	6
			PHS	0.5		7
				2		8
				5		9
			PSSA	1		10
			Accomet C	5		11
			Hydroxquinoline	1		12
ac sulphuric acid anodised			Anodised only		None	13
3	60	2	PAA Mol. wt 50K	2	176	14
				5	207	15

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Table 9

Test No	Hours exposed to acetic acid salt spray (DIN50021)								
	Panel & Scribe			Bend			Creep		
	336	504	840	336	504	840	336	504	840
1	4	4	5	1	1	2	1	5	5
2	1	2	4	1	1	2	1	1	1
3	1	1	1	2	2	2	1	1	1
4	1	1	1	1	1	1	1	1	1
5	1	2	3	1	1	1	1	1	1
6	1	1	2	1	1	1	1	1	1
7	1	1	1	2	2	2	1	1	1
8	3	4	5	1	1	2	1	1	5
9	4	5	5	1	5	5	5	5	5
10	4	4	5	1	1	2	1	5	5
11	1	1	1	2	2	2	1	1	1
12	1	4	4	2	2	2	1	1	5
13	4	5	5	2	2	3	5	5	5
14	1	1	1	2	2	2	1	1	1
15	1	1	2	1	1	1	1	1	1

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CLAIMS

1. An aluminium workpiece having on a surface thereof an
5 anodic oxide film and a coating which consists essentially of at least one
adhesion promoter, providing that promoters based on silicon-organic
compounds are excluded.
2. The aluminium workpiece of claim 1, wherein there is a paint,
10 lacquer, varnish or enamel layer overlying the adhesion promoter coating.
3. The aluminium workpiece of claim 2, which is aluminium
sheet of which at least one surface has the anodic oxide film, the adhesion
promoter coating and the paint, lacquer, varnish or enamel layer.
- 15 4. The aluminium workpiece of claim 2 or claim 3, wherein the
anodic oxide film is 50 – 200 nm thick.
5. The aluminium workpiece of any one of claims 2 to 4, wherein
20 the adhesion promoter coating is present at a weight of 5 – 500 mg/m².
6. The aluminium workpiece of any one of claims 2 to 5, which is
painted sheet for architectural use.
- 25 7. The aluminium workpiece of any one of claims 2 to 6, wherein
the adhesion promoter is selected from at least one of polyacrylic acid,
poly(hydroxyphenyl) styrene and pretreatments comprising one or more of
Cr, Mn, Mo, Si, Ti, Zr and F.
- 30 8. The aluminium workpiece of claim 1, wherein the adhesion
promoter is one containing one or more of Cr, Mn, Mo, Si, Ti and Zr.

AMENDED SHEET

9. The aluminium workpiece of claim 8, which is aluminium sheet of which at least one surface has the anodic oxide film, the adhesion promoter and a paint layer or an adhesive overlying the adhesion promoter.

5 10. The aluminium workpiece of claim 8 or claim 9, wherein the anodic oxide film is 10 – 50 nm thick.

11. The aluminium workpiece of any one of claims 8 to 10, wherein the adhesion promoter coating is present at a weight of
10 2 – 100 mg/m².

12. The aluminium workpiece of any one of claims 8 to 11, wherein the Cr, Mn, Mo, Si, Ti, Zr and F of the adhesion promoter are inorganic.
15

13. The aluminium workpiece of any one of claims 8 to 12, which is primed sheet for automotive use.

14. The aluminium workpiece of claim 9, wherein the paint layer
20 is of an electro-conductive paint primer.

15. A method of treating an aluminium workpiece, which method comprises precleaning a surface of the workpiece, anodising the workpiece so as to form an anodic oxide film on the surface and applying to the
25 anodic oxide film a coating consisting essentially of at least one adhesion promoter, provided that adhesion promoters based on silicon-organic compounds are excluded.

16. The method of claim 15, wherein there is applied over the
30 adhesion promoter coating a paint, lacquer, varnish or enamel layer.

17. The method of claim 16, wherein the adhesion promoter is applied as a no-rinse coating or a conversion coating.

18. The method of claim 16 or claim 17, wherein the aluminium
5 workpiece is aluminium sheet.

19. The method of claim 18, wherein the precleaned surface of the sheet is continuously anodised to form an anodic oxide film on the surface.

10

20. The method of any one of claims 15 to 19, wherein the adhesion promoter is one containing one or more of Cr, Mn, Mo, Si, Ti, Zr and F.

15

21. The method of claim 20, wherein a paint layer or adhesive is applied over the adhesion promoter coating.

AMENDED SHEET

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Dkt.

CCD

DECLARATION AND POWER OF ATTORNEY

As a below-named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:
COATED ALUMINIUM WORKPIECE

the specification of which (check one)

_____ is attached hereto.
☒ was filed on 13 October 1998 as
 Application Serial No. PCT/GB98/03091
 and was amended on 5 November 1999
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<i>Prior Foreign Application(s):</i>			<i>Priority Claimed</i>	
<u>Country</u>	<u>Filing Date</u>	<u>Number</u>	<u>Yes</u>	<u>No</u>
<u>GB</u>	<u>13-10-1997</u>	<u>9721650.1</u>	<u>X</u>	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

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I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
_____	_____	_____
_____	_____	_____

And I hereby appoint Christopher C. Dunham (Reg. No. 22031), Ivan S. Kavrukov (Reg. No. 25161), Norman H. Zivin (Reg. No. 25385), John P. White (Reg. No. 28678), Robert D. Katz (Reg. No. 30141), Richard S. Milner (Reg. No. 33970), and Richard F. Jaworski (Reg. No. 33515) and each of them, all c/o Cooper & Dunham LLP, of 1185 Ave. of the Americas, New York, New York 10036 (Tel. 212 278-0400), my attorneys, each with full power of substitution and revocation, to prosecute this application, to make alterations and amendments therein, to receive the patent, to transact all business in the Patent and Trademark Office connected therewith, and to file any International Applications which are based thereon under the provisions of the Patent Cooperation Treaty.

Please address all communications, and direct all telephone calls regarding this application, to **Christopher C. Dunham, Registration No. 22,031, c/o Cooper & Dunham LLP, 1185 Ave. of the Americas, New York, N.Y. 10036, Tel. (212) 278-0400**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

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